

Docket No. CITI0128



G8 2768  
PATENT 4-9-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Peter E. RAYNER, et al.

Group Art Unit: 2768

Serial No.: 09/454,978

Examiner: To Be Assigned

Filed: December 3, 1999

For: COMPUTER SYSTEM FOR DATA MANAGEMENT AND METHOD FOR  
OPERATION OF THE SYSTEM

RECEIVED  
APR 6 2001  
Group 2100 X 6 2001  
Group 2100

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 AND 1.98

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97-1.98 and MPEP § 609, Applicants, through its attorneys, hereby bring to the attention of the Examiner the references noted on the attached Form PTO-1449.

Since these references are being submitted before the First Office Action, no fees are believed to be due. The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. 1.16 or 1.17 which may be required during the entire pendency of this application, or to credit any overpayment, to Deposit Account No. 501458. A duplicate copy of this letter is submitted herewith for that purpose.

The above information is presented so that the United States Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. See 37 C.F.R. §§ 1.104(a) and 1.106(b) conferring the PTO duty to consider and use any such information. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Some of the references cited on the attached Form PTO-1449 represent English-language documents which have been cited in several opposition proceedings which have been initiated against the correspondence EPO patent. If the examiner wishes to know more about the opposition proceedings before the EPO, he or she is invited to contact the undersigned.

The following references were cited in Oppositions to the corresponding European Patent; however, copies of these documents were not enclosed by the opponents.

1. COMPUTERS IN THE CITY '89, 14 November 1989, London, UK, pages 53-61, F.J. Perkins, "NORDEX: automated trading for Nordic equities."
2. SPRING COMPCON 87, 23 February 1987, San Francisco, US, pages 161-162, H.S. Sammer, "Online stock trading systems: study of an application."
3. AT&T Technology, Vol. 3, No. 1, 1988, Short Hills, New Jersey, US, pages 40-45, T. J. Dwyer, "TUXEDO Transaction Processing System for 3B Computers."

4. "GTE Telenet and Reveal Software, Inc. have cooperated in developing a complete broker's workstation software package," January 22, 1985, article from DIALOG File 649 -- NEWSWIRE ASAP.
5. "SOFFEX Management Summary," Swiss Options and Financial Futures Exchange Ltd., January, 1987 (Schweizerische Terminbörse).
6. Schmerken, I., "How computer assisted trading is making the Toronto Stock Exchange Purr," Wall Street Computer Review, December, 1987, pp.71-78, see especially page 77.
7. Bucken, M., "Stock traders ponder 'Make' or 'Buy' choice," Software Magazine, vol. 9, no. 15, December, 1989, pp.75-77.
8. Mazzella, D.P., "Workstations for financial services professionals," Wall Street Computer Review, vol. 3, no. 5, February, 1986, pp.35-39.
9. Nathans, L., "Can computers help Merrill take possession of the field?," Wall Street Computer Review, vol. 3, no. 5, February, 1986, pp.35-39.
10. "Software alliance unveils system to help banks trade securities," American Banker, November 17, 1987, p. 14.
11. "Unisys introduces PC-based quotation system for stockbrokers at Securities Industry Trade Show in New York," February 10, 1988, article from DIALOG File 649 -- Newswire ASAP.
12. IBIS-Trading -- Handelssystem für IBIS (Integriertes Börsenhandels- und Informationssystem), Version 2.5, Realtime Systems OHG, Hochheim, 1994.

13. InterTrade Direct, Liberty, London, 1994/95 (siehe die Zeitungsclips auf den letzten zwei Seiten).

If the Examiner has any questions or wishes to discuss this application, kindly telephone the undersigned.

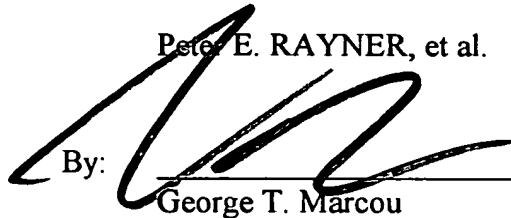
Respectfully submitted,

Peter E. RAYNER, et al.

Date: \_\_\_\_\_

4/5/01

By: \_\_\_\_\_



George T. Marcou

Registration No. 33,014

KILPATRICK STOCKTON LLP  
607 14<sup>th</sup> Street, N.W.  
Suite 900  
Washington, D.C. 20005  
(202) 508-5800

C0464/183785  
WSHLIB01:99349